PTO/SB/05 (12/97)
Approved for use through 9/30/00. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Linder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## UTILITY PATENT APPLICATION **TRANSMITTAL**

Attorney Docket No. DE920000124US1 Total Pages 29 First Named Inventor or Application Identifier

Christian Bolik

(Only for new nonprovisional applications under 37 CFR 1.53(b))

ET580099288US Express Mail Label No.

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.		ntents.	Assistant Con ADDRESS TO: Box Patent A Washington,			atent Appl		
1. X Fee Transmittal Form (Submit an original, and a duplicate for fee processing)  2. X Specification (Total Pages) _24  Descriptive title of the Invention  Cross References to Related Application  Statement Regarding Fed sponsored R & D  Reference to Microfiche Appendix  Background of the Invention  Brief Summary of the Invention  Brief Description of the Drawings (if filed)  Detailed Description  Claim(s)  Abstract of the Disclosure  X Drawing(s) (35 USC 113) (Total Pages)  Mewly executed (original or copy)  Description of Inventor (Total Pages)  Newly executed (original or copy)  Description of Inventor(s)  Signed statement attached deleting inventor(s) named in prior application, see 37 CFR 1.63(d)/2 and 1.33(b).  Incorporation by Reference (useable if Box 4b is checked)  The entire disclosure of the prior application, from which a copy of the cath or declaration is supplied under Box 4b is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.		and  and  and  and  and  and  and  prisidered plication  and  priate box and s	6. Microfiche Computer Program (Appendix)  7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  a. Computer Readable Copy  b. Paper Copy (identical to computer copy)  c. Statement verifying identify of above copies  ACCOMPANYING APPLICATION PARTS  8. Assignment Papers (cover sheet & document(s))  9. 37 CFR 3.73(b) Statement Power of Attomey (when there is an assignee)  10. English Translation Document (if applicable)  11. X Information Disclosure Statement (IDS)/PTO-1449 Citations  12. Preliminary Amendment  13. X Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  14. Small Entity Statement filed in prior application, Status still proper and desired  15. X Certified Copy of Priority Document(s) if foreign priority is claimed)  16. X Other: Express Mail Certificate					
☐ Contin	uation	ontinuation-in-p	art (CIP)			of prior a	pplication No.:	
	18. <b>CO</b> I	RRESPONDEN	CE ADD	RESS				
	ner Number or Bar Code Label rrespondence address below							
NAME	Brian C. Kunzler							
ADDRESS	10 West 100 South							
CITY	Salt Lake City	STATE	Utah			ZIP	84101	
COUNTRY	United States	TELEPHONE	(801) 99	94-4646		FAX	(801) 322-1054	
Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION								
Assignee Residence: Armonk, New York								

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

PTO/SB/05  Approved for use through 9/30/00. OMB 06  Patent and Trademark Office: U.S. DEPARTMENT OF COM  Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.							
		Complete If Known					
FEE TRANS	NAITT A I	Application Number	Not yet assigned December 10, 2001				
FEE IRANS	WIIIIAL	Filing Date					
		First Named Inventor	Christian Bolik				
Note: Effective Octob		Group Art Unit					
Patent fees are subject to	annual revision.	Examiner Name					
TOTAL AMOUNT OF PAYMENT	\$ 908	Attorney Docket Number	DE920000124US1				

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)					
The Commissioner is hereby authorized to charge	3. ADDITIONAL FEES					
indicated fees and credit any over payments to:	Large	Large Entity Small Entit				
Deposit Account Number: 09-0466	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
Deposit Account Name: IBM CORPORATION	105	130	205	65	Surcharge - late filing fee or oath	
Charge Any Additional Charge the Issue Fee	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
Fee Required Under In 37 CFR at the Mailing of the Notice of Allowance	139	130	139	130	Non-English specification	
37 CFR 1.16 and 1.17 Of the Notice of Allowance	147	2520	147	2520	For filing a request for reexamination	
2. Payment Enclosed:	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
☐ Check ☐ Money Order ☐ Other	113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
FEE CALCULATION	115	110	215	55	Extension for reply within first month	
4. FILING FEE	116	400	216	200	Extension for reply within second month	
##	117	920	217	460	Extension for reply within third month	
Large Entity Small Entity	118	1440	218	720	Extension for reply within fourth month	
Fee Fee Fee Fee Description Fee Paid	128	1960	228	980	Extension for reply within fifth month	
£ode (\$) Code (\$)	119	320	219	160	Notice of Appeal	
101 740 201 370 Utility filing fee 740	120	320	220	160	Filing a brief in support of an appeal	
106 330 206 165 Design filing fee	121	280	221	140	Request for oral hearing	
± 107 510 207 255 Plant filing fee	138	1510	138	1510	Petition to institute a public use proceeding	
108 740 208 370 Reissue filing fee	140	110	240	55	Petition to revive - intentional	
114 160 214 80 Provisional filing fee	141	1280	241	640	Petition to revive - unintentional	
\$ SUBTOTAL (1) \$ 740	142	1280	242	640	Utility issue fee	
2. CLAIMS Fee from	143	460	243	230	Design issue fee	
Extra below Fee Paid	144	620	244	310	Plant issue fee	
Total Claims 20 -20 = 0 x 18 = 0	122	130	122	130	Petitions to the Commissioner	
Ind. Claims 5 -3 = 2 x 84 = 168	123	50	123	50	Petitions related to provisional applications	
Multiple Dep. Claims 0 x 280 = 0	126	180	126	180	Submission of Information Disclosure Stmt	
Large Entity Small Entity	581	40	581	40	Recording each patent assignment per property (times number of properties)	
Fee Fee Fee Fee Fee Description Code (\$) Code (\$)	146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3	149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
104 280 204 140 Multiple dependent claim	Other fe	e (specify)				
<b>SUBTOTAL (2)</b> \$ 168	*Reduce	d by Basic	Filing Fee	3	SUBTOTAL (3)	\$0

SUBMITTED BY					Complete (if applicable)		
Typed or Printed Name	Brian C. Kunzler	1			Reg. Number	38,527	
Signature	15-c	Kall	Date	Dec 10, 2001	Deposit Account User ID		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Docket No.: DE920000124US1

## CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label No.: ET580099288US

Date of Deposit: December 10, 2001

I hereby certify that this patent application in the name of Christian Bolik, Peter Gemsjaeger, and Klaus Schroiff for METHOD AND SYSTEM FOR SCALABLE, HIGH PERFORMANCE HIERARCHICAL STORAGE MANAGEMENT, together with the drawings, an Information Disclosure Statement, PTO Form 1449, Certified Copy of Foreign Priority Document, and Copies of Cited References are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above in an envelope addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

Brian C. Kunzler Reg. No. 38,527

Attorney for Applicant

Date: December 10, 2001

Brian C. Kunzler, P.C. 10 West 100 South, Suite 425 Salt Lake City, Utah 84101 Telephone: 801/994-4646